

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>				<b>Complete if Known</b>			
				Application Number		Not Yet Assigned	
				Filing Date		Concurrently Herewith	
				First Named Inventor		May	
				Group Art Unit		2765	
Examiner Name		J. Germain					
Attorney Docket Number		38866/204611					
Sheet	1	of	3				

JCS75 U.S. PTO  
 09/680365  
 10/05/00

U. S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant Of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages of Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
gwl	1	3,581,072		Nymeyer	05-25-1971	
gwl	2	4,674,044		Kaimus et al.	06-16-1987	
gwl	3	4,677,552		Sibley, Jr.	06-30-1987	
gwl	4	4,903,201		Wagner	02-20-1990	
gwl	5	4,953,085		Atkins	08-28-1990	
gwl	6	4,980,826		Wagner	12-25-1990	
gwl	7	5,003,473		Richards	03-26-1991	
gwl	8	5,077,665		Silvermann et al.	12-31-1991	
gwl	9	5,126,936		Champion et al.	06-30-1992	
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gwl	12	5,193,056		Boes	03-09-1993	
gwl	13	5,258,908		Hartheimer et al.	11-02-1993	
gwl	14	5,285,383		Lindsey et al.	02-08-1994	
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Examiner Initials	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code (if known) <sup>5</sup>				

Examiner Signature	<i>[Signature]</i>	Date Considered	4/12/04
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<sup>1</sup> Unique citation designation number.

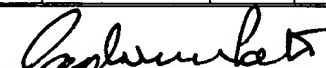
<sup>2</sup> See attached Kinds of U.S. Patent Documents.

<sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

<sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

<sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible.

<sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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				Group Art Unit		2765			
Examiner Name				J. Germain					
Sheet	2	of	3	Attorney Docket Number		38866/204611			
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Examiner Initials*	Cite No. <sup>7</sup>	U.S. Patent Document		Name of Patentee or Applicant Of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages of Relevant Figures Appear			
		Number	Kind Code <sup>8</sup> (if known)						
Jah Jah Jah Jah Jah Jah Jah Jah Jah Jah Jah Jah Jah Jah Jah	17	5,396,552		Jahn et al.	03-07-1995				
	18	5,446,885		Moore et al.	08-29-1995				
	19	5,517,406		Harris et al.	05-14-1996				
	20	5,557,517		Daughterty, III	09-17-1996				
	21	5,630,127		Moore et al.	05-13-1997				
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	26	5,924,082		Silverman et al.	07-13-1999				
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	30	5,970,479		Shepherd	10-19-1999				
	31	6,014,627		Togher et al.	01-11-2000				
<b>FOREIGN PATENT DOCUMENTS</b>									
Examiner Initials	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear		T <sup>12</sup>
		Office <sup>9</sup> 11	Number <sup>10</sup>	Kind Code (if known)					
Jah Jah Jah Jah Jah Jah Jah	32		0 399 850	A2	Reuters Limited	11-28-1990			
	33		0 407 026	A2	Reuters Limited	01-09-1991			
	34		0 411 748	A2	Reuters Limited	02-06-1991			
	35	WO	95 06918	A	MJT Holdings, Inc.	03-09-1995			
	36	WO	96 05563	A	Reuters Limited	02-22-1996			
	37	WO	96 34357	A	MJT Holdings, Inc.	10-31-1996			
	38	WO	97 03409	A	Cedel Bank	01-30-1997			
Examiner Signature						Date Considered	4/14/04		

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<sup>8</sup> See attached Kinds of U.S. Patent Documents.

<sup>9</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

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<sup>12</sup> Applicant is to place a check mark here if English language Translation is attached.



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(Revised 10/2001)

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 2

**Complete if Known**

Application Number 09/680,365  
Filing Date October 5, 2000  
First Named Inventor R. Raymond May  
Group Art Unit 2164  
Examiner Name Coles, S.  
Attorney Docket Number 38866/204611

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Examiner Initials*	Cite No.	Document Number Number - Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages of Relevant Figures Appear
<i>Jul</i>	1	US-5,101,353	03-31-1992	Lupien et al.	
<i>Jul</i>	2	US-5,270,922	12-14-1993	Higgins	
<i>Jul</i>	3	US-5,594,639	01-14-1997	Atsumi	
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<i>Jul</i>	5	US-5,845,266	12-01-1998	Lupien et al.	
<i>Jul</i>	6	US-5,950,175	09-07-1999	Austin	
<i>Jul</i>	7	US-6,012,046	01-04-2000	Lupien et al.	
<i>Jul</i>	8	US-6,014,643	01-11-2000	Minton	
<i>Jul</i>	9	US-6,098,051	08-01-2000	Lupien et al.	
<i>Jul</i>	10	US-6,134,600	10-17-2000	Liu	
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Examiner Initials	Cite No.	Foreign Patent Document Country Code - Number Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
<i>Jul</i>	12	EP 0512702 A2	11-11-1992	Reuters Limited		

Examiner  
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*[Signature]*

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*4/12/04*

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Sheet 2 of 2

**Complete if Known**

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First Named Inventor R. Raymond May  
Group Art Unit 2164  
Examiner Name Shareill Coles  
Attorney Docket Number 38866/204611

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**OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS**

Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T
<i>RM</i>	13	RABATIN, Adaptive Portfolio Trading Strategies for Forex Portfolios, Journal, April 1997, Pages 1-11, Issue 4, Rabatin Investment Technology	
<i>RM</i>	14	HIGGENS, Managing the Risk of Your Global Bond Portfolio, Journal, April 1996, Pages 13-16, Issue 0951-3604, Global Investor	
<i>RM</i>	15	AVANZATO, How to Use The Collateral Carousel, Journal, January 1998, Pages 29-31, Issue 0262-6969, International Financial Law Review	
<i>RM</i>	16	LUDWIG, Supervision by Risk, Journal, November 1995, Pages 52-60, Issue 1062-6271, Journal of Commercial Lending	
<i>RM</i>	17	Derivatives Tool Merger, Report, February 19, 1996, Page 4, Volume 28, Number 4, Issue 1042-7252, Software Industry Report	
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